

ADMINISTRATIVE PROCEDURE #1
POLICY CONTROL SYSTEM
JUNE 7, 1982

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1.1 General Description and Purpose

The purpose of the Policy Control System (PCS) is to ensure development, review, distribution and maintenance of Department policy in an orderly fashion. The PCS will provide Department staff with a regularly updated method of accessing policy and procedures. PCS also provides a process by which Department staff may initiate policy for executive guidance and resolution.

Staff Compliance and PCS

In order to comply with Department policy as promulgated through the Policy Control System, staff must follow all directives set forth in official Department rules, procedures and policy guides. Staff must comply with all regulations as contained in the official volume of Rules and Procedures unless they have been rescinded through official notice via a Policy Transmittal. (Definition and terms follow.)

1.2 Definition of Terms, PCS Documents

There are four categories of documents used for the purpose of communication policy, information and directives of staff. The four categories are:

- A) Major policy documents: rules, procedures, administrative procedures and policy guides
- B) Derivative policy documents: handbooks and program models
- C) Process Documents: Policy Transmittals, Policy Transmittal Index, Transmittal Memorandum and Policy Guidance Request
- D) Official Transmittals, Non P.C.S: Action Transmittals and Information Transmittals

A. Major Policy Documents

Rules (white pages): Rules are policy statements which the Department is required by the Administrative Procedures Act (APA) to file with the Secretary of State. Rules are authorized by and implement of statute (e.g. The Child Care Act, Juvenile Court Act, An Act Creating the Department, etc). Rules are a bridge between statutory authority and actual agency operations; however they may not expand the scope of any statute. Rules embody the rights and entitlements of the public and have the force and effort of law.

Under the Administrative Procedures Act, rules must undergo an extensive public review process and an extensive review by the Joint Committee on Administrative Rules (JCAR). This "rulemaking" takes several months. This same process applies to revisions and changes to existing rules as well as to new rules.

Once a rule is adopted through the APA process it is issued to Department staff. The version of the rule issued to staff, while differing slightly in page format, is a verbatim reproduction of the rule on file with the Secretary of State. The collection of rules on one particular subject is referred to as a "Part". (e.g. Part 302, Service Delivered by The Department).

Procedures (yellow pages): The procedures which are printed and issued to staff on yellow paper are instructions on how to carry out the requirements contained in the rule. Procedures help staff implement the rule. Procedures must be followed, unless discretion is indicated in the procedure.

Procedures are formatted (headings and numbering schemes) exactly the same as the rules which they implement. Some sections of the rules may be so self-explanatory as not to require a corresponding procedure. In such instances, that section of the procedure will be blank, with a designation in the margin of double equal signs (= =).

Administrative Procedures (green)Administrative Procedures (green): These are standardized, enforceable, ongoing operating procedures, not directly related to Department rules, which are applicable to all or to more than one Division or Office reporting to the Department Director. Examples include: Policy Control System, Forms Control, Interagency Agreements, Discretionary Grants Management. Administrative Procedures are promulgated through the Policy Control System.

There may be standard operating procedures, not related to rules, which are applicable to only one Division or Office reporting to the Director. In such instances, that Division or Office Administrator has the option of promulgating these procedures through the Policy Control System as Administrative Procedures. If the Administrator chooses not to use the Policy Control System in issuing such procedures, the Administrator shall forward a copy of such procedures to all other Executive Staff members, simultaneously with distribution to subordinate staff. Or, the Administrator may choose to give prior notice to Executive Staff.

Policy Guides (salmon paper): Policy Guides are used in relation to either a rule or a procedure in this manner:

1. Rule – Policy guides are used when necessary to clarify, interpret, detail, coordinate and/or analyze federal and state statutes and rules, and court orders. Policy guides may not expand the scope of rules or statutes. Policy guides may transmit instructions related to court orders. Policy guides are issued on an interim basis until their contents can be reformatted in rules which have been officially filed with the Secretary of State and issued to staff by the Director of the Department.

2. Procedures – Policy guides are also used to convey procedural instructions on an emergency or interim basis. They are issued when there is insufficient time to prepare revisions to procedures contained in the official volume of rules and procedures and it is necessary that the instructions be implemented as soon as possible. Policy guides will be rescinded at regular intervals after their contents have been incorporated into the volume of rules and procedures.

B. Derivative Policy Documents

Handbook: The term “handbook” is synonymous with “manual” and will hereafter be utilized to describe such a document throughout the Department and throughout this Administrative Procedures.

Except as indicated in the final paragraph of this definition, Handbooks must be issued through the Department’s Policy Control System; however, they will not be subject to the development, review and approval process required for Department Rules and Procedures, but will instead be issued through the process described below.

A Handbook is an instructional document, frequently utilized for staff training purposes, written from the direct service worker perspective and geared to assist staff in implementing policy (Rules and Procedures). It facilitates service delivery for designated categories of staff such as CWS, CPS caseworkers, licensing and resource workers, and supervisors by delineating step-by step activities to guide staff, and it may contain workload (performance) standards not appropriated either for Rule or Procedures. Other Handbook materials may be advisory or discretionary, or provide choices consistent with quality casework practice. However, Handbooks are not substitutes for Rules and Procedures, and no employee is absolved from observing the requirements of officially promulgated Rules and Procedures affecting his areas of responsibility by having recourse to a Handbook. (This statement shall appear on the cover page of each Service related handbook.)

Handbooks may appropriately extract brief portions of specific Rule(s) and Procedures followed by appropriated referencing. In these situations the referenced Rule/Procedures will be cited by number and subject matter to highlight its mandatory nature, to allow for easy reference and to assure that the Handbook remains automatically current with changes in Rule and Procedures, which are governed by an established numbering system.

Handbooks are developed by a user unit. Policy and Plans Division’s rules and procedures unit will provide technical assistance in their development, including help in formatting and editorial style, and assurance that numerical references to Rule(s) and Procedures are appropriated and correct. All handbooks shall be prepared for insertion in loose leaf binders. The primary user of a specific handbook shall be responsible for ensuring that handbooks are fully updated with every appropriate rule or procedures change.

Handbooks or reprints will be reviewed by the Division of Policy and Plans rules and procedures unit for format, style and consistency with existing statutes, rules and procedures prior to publication or reprinting.

Handbooks are transmitted over the signature of the Director or a member of his executive staff via a Policy Transmittal.

Handbooks may be issued to instruct staff having a highly specialized or technical area of responsibility in process that do not relate to public rights or entitlements; e.g. data processing, personnel, labor relations, affirmative action, audits, etc. Such handbooks are exempt from PCS processing and will not be issued through PCS except upon request of an Administrator.

Program Models: A program model is as the name implies a "model" or exemplary guide for implementing a specific type of program. Program in this context means a broad category of similar services for an identifiable group or segment of the population designed to realize and support one or more goals of the organization (e.g., Adoption Program).

A model is a discretionary tool that can be used as a guide in implementing the services of a particular program. Models may be utilized to the extent that they do not contradict official Department policy (rules and procedures).

A program model may be developed by Department staff or it may be the product of an outside organization, such as the Department of Health and Human Services, the Child Welfare League, American Public Welfare Association, etc.

Program models will often be used on a test basis in limited geographic areas in order to evaluate their effectiveness. If the model proves useful, its contents will be incorporated into procedures for use by the Department statewide.

C. Process Documents

Policy Transmittals: Policy Transmittals are consecutively numbered cover sheets which officially transmit rules, procedures, handbook and program models. Policy Transmittals contain appropriate summary information about the policy document being transmitted, e.g. issuance date; effective date; subject and numerical headings for filing, maintenance, and retrieval; general description; and any policy documents which are immediately being rescinded or amended. Policy Transmittals are printed on the same color paper as the type o document they transmit.

Policy Transmittal Index (blue paper): This is a consecutively numbered Policy Transmittal issued at least semi-annually which transmits a list of all major policy documents issued since the preceding Policy Transmittal Index was issued. The Index will also identify the distribution of the material.

Transmittal Memoranda (pin-Central Office use only): These are cover sheets to transmit Rule and Procedures (including Administrative Procedures) for Executive Staff review and comment and for sign-off by the Director.

Policy Guidance Request: This is a form (or memo) to request policy interpretations or to initiate policy (rule or procedures) revisions, or to develop new policy.

D. Official Transmittals, Non-PCS

Action Transmittals: Action Transmittals (AT's) convey time-limited, non-policy directives, of a one-time-only nature or brief duration. An AT must be used when any directive is applicable to more than one Department Division or Office. Such Action Transmittals are reviewed by the Director's staff and signed by the Director. Action Transmittals may also be used to issue non-policy directives to staff within a discrete unit; e.g. Director to Executive Staff or expanded staff; Executive Staff members to subordinates, etc. These AT's are signed by the issuing Administrator.

An Action Transmittal may, in that rare emergency which requires an immediate policy change, be used to communicate such changes, provided however that a properly formatted Policy Guide is initiated through PCS on the following work day, and the emergency AT is rescinded.

Action Transmittals that do not contain or imply an expiration date automatically expire at the end of the calendar year. If the directive is to continue into the new calendar year, a new Transmittal shall be issued. Action Transmittals, although not policy statements, are part of the general administrative accountability system, and therefore part of the Policy Control System. However, they do not undergo the PCS process of development and review. They are instead processed through the Communications Clearinghouse, within the Office of Communication/Community relations.

Information Transmittals: Information Transmittals may contain informative accounts, reports, studies, guidelines, abstracts, or analyses. Information Transmittals do not direct staff to take action.

1.3 Distribution, Maintenance and Retrieval of PCS Documents

A. Distribution

The distribution of policy documents will vary depending on the material. A distribution code will appear at the top of each transmittal document indicating which staff is to receive the material. Staff will receive only those policy documents directly related to their job responsibilities.

All other PCS documents including Action Transmittals and Information Transmittals will be distributed on the basis of their applicability.

B. Filing, Maintenance and Retrieval

Each regional office, site or field office must have at least one full complement of all current PCS documents which have been distributed them properly maintained and accessible to staff. All supervisors and administrators must designate appropriate staff to maintain and keep current a PCS filing system as described below. These designated staff members will also ensure that amendments and additions to the policy binds(s) are made as required by Policy Transmittal Indexes.

In addition, all other staff members who are issued rules and procedures are encouraged to maintain and keep current their own file of documents.

The method for filing each PCS document is as follows:

Rules – Policy binder(s) by rule number

Procedures (implementing rules) – Policy binder(s) following rule of the same number

Procedures (administrative) – Policy binder(s) following procedures (yellow) by Administrative Procedure Number

Policy Guides - Policy binder(s) following the rule and procedure of the same number, as referenced

Policy Transmittals – Policy binder(s), separate section, sequentially by number shown

Policy Transmittal Index – Policy binder(s), separate section, sequentially by number shown

Action Transmittals – File sequentially, by number, or as appropriate for affected units

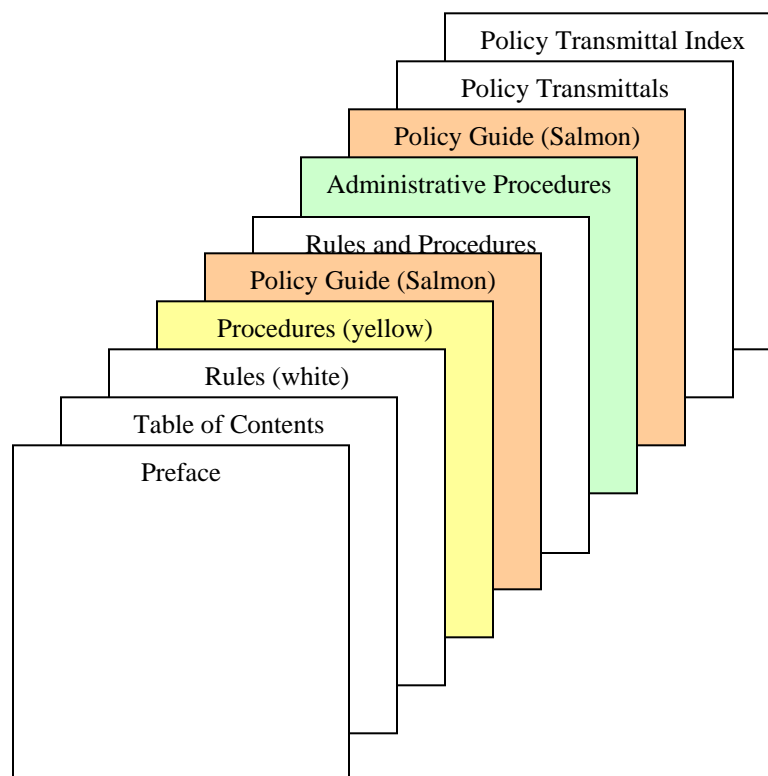
Information Transmittals – File sequentially, by date, or as appropriate for affected units.

C. Formatting and Numbering of PCS Documents

Appropriate formatting will be ensured by the Policy and Plans Division rules and procedures unit and the Clearinghouse. Policy Transmittals and any attached PCS documents will show, as appropriate: a) the issuance date; b) the effective date (if any); c) the statutory base, as appropriate; d) a subject title for filing, maintenance, and reference, and e) the authorized signatures. Separate, sequential numbers will be assigned to the following types of PCS documents: Policy Transmittals, Policy Guides, and Action Transmittals.

The following diagram illustrates the order in which PCS documents are to be filed and maintained.

Volume of Rules and Procedures



If multiple binders are necessary, maintain the sequence illustrated, i.e. the second binder should continue where the first leaves off.

Action Transmittals and Information Transmittals are not filed in the volume of Rules and Procedures. They can be maintained in whatever manner is most convenient for the recipient. Handbooks and Program Models can also be maintained in a manner that most lends itself to convenient use by the recipient of the Handbook or Model.

1.4 Policy Document Development and Review (Central Office Use Only)

This section describes the step-by-step development and review of a policy document, from its inception to final approval by the Director, identifying the parties responsible during the various stages of the process. Policy document in this context means rule and procedure (including Administrative Procedure). A Policy Guide although considered a policy document requires only the review of Legal Staff, Division of Policy and Plans and the primary user (as defined below). The process of development and review described in this Section is not applicable to other types of PCS documents, such as Action Transmittals, Information Transmittals and Handbooks. The Director may waive any and all internal timeframes in the event he determines that emergency action is needed.

Step 1 – Identification of Need

The first step in the process of developing a policy document is the identification of the need for the document. This identification can be made by any Division within the Department. The need may arise because of legislation (Federal or State), court decisions or major program initiatives approved by the Director; or the need may arise because of staff's perception and analysis of problems which require changes in methods or procedures used to implement Department rules, deliver services or provided technical support. The Division which bears major responsibility for implementing a policy will be referred to throughout these procedures as the "primary user."

When the need for a policy document has been identified, the need shall be communicated through the responsible executive staff member to the Division of Policy and Plans. Whenever appropriate, the Division which has identified the need should indicate a target date by which the policy document is needed.

Step 2 – Identification of Primary User

The rules and procedures unit within the Division of Policy and Plans will determine what type of policy document is most appropriate and identify the Department unit to be involved in the development of a first draft. A target date for completion of the review and approval process based on the primary user's needs and/or external requirements will be established at this point.

In general, the primary user of a rule or procedure shall have major responsibility for developing the draft of the rule or procedure. Example: the primary user(s) of CPS procedures are Division of Child Protection and Program Operations; primary user(s) of licensing enforcement rules or procedures is the Division of Child Protection; primary user of policy regarding contracts and grants, children's financial benefits, vouchers, etc., is the Division of Management and Budget.

Step 3 – Request for Policy Draft

When the determination is made as to the appropriate document necessary and the primary user is identified, the Division of Policy and Plans will direct a request to the primary user for a draft of the document. Included in the request will be the target date that will be identified. A sample format for the type of document required will be attached. In addition, technical

assistance from the Division of Policy and plans in developing the draft will be offered.

If the need was identified by the primary user, the primary user, if it is prepared to do so, may bypass steps 2 and 3, by forwarding a draft of the policy document to the Policy and Plans Division and request that the document be formatted appropriately and circulated for review and comments. However, for purposes of the planning essential to a major policy rewrite, such as a revised Rules and Procedures for CPS investigation, agreement with the Policy and Plans Deputy must be reached as to the delivery date for a first draft of the Rules and/or Procedures before the policy rewrite project is undertaken.

Step 4 – Preparation of Policy Draft

The Division identified as the primary user shall have major responsibility for preparation of a draft of the new policy or policy change. The Division of Policy and Plans will assist in writing the draft, if requested, and if the subject matter is within its expertise. In any event, Rules and Procedures Unit will assist in appropriate formatting and will review the document for consistency with existing policy (statutes, Rules and Procedures).

Step 5 – Rule Procedure Review

When the primary user has completed a draft of the policy document, it shall forward the draft to the Policy and Plans Division rules and procedures unit. The rules and procedures unit shall edit and format the draft, without changing the substance of the document. This unit will also review the draft for any apparent inconsistencies with existing statutes, rule or official procedure. Any such inconsistencies will be brought to the attention of the primary user, and, if they remain in the draft circulated for comment, shall be pointed out in footnotes.

Step 6 – Circulation for Review and Comment

The Policy and Plans Division rules and procedures unit will forward a correctly formatted policy draft to executive Staff and any field staff team identified by the Director, for review and comment. A period of 15 workdays will be given for comment. Documents for review will be forwarded to Executive Staff under cover of a distinctively colored Transmittal Memorandum (pink).

The Transmittal Memorandum will identify the attached draft as being either an entirely new policy or a revised policy. If the draft is revised policy, the revised material will be underscored for easy identification. Commentors shall confine their comments to the underscored material.

Transmittal Memoranda will indicate a date by which all comments are to be submitted and also contain a tear-off sheet on which the reviewer can indicate his/her disposition in the boxes provided. A reviewer can mark one of three boxes: a) no comment; 2) comments attached; 3) more time needed. If more time is needed, the commentator shall discuss the extension of time with the Rules and Procedures Unit and the primary user.

If no response is received by the prescribed deadline, agreement with the draft document will be assumed, and so recorded.

Step 7 – Comments

When comments are received, the Policy and Plans Division rules and procedures unit will forward copies of all comments, unedited, to the primary user for review. All comments received will be jointly reviewed by the rules and procedures unit and the primary user, and acted upon if found to be appropriate by the primary user. However, only those comments that recommend an alternative to the policy in question and provide a rationale therefore will be worked through with the commentor.

Step 8 – Disposition of Comments

Option A

If all reviewers concur with the draft, the draft will be forwarded to the Director for his signature.

Option B

If the comments indicate disagreement with the draft and recommend that changes be made, the primary user and the Rules and Procedures Unit will meet with the commentors for the purpose of negotiating the controversial issues.

If agreement is reached, and changes are made on the draft, another Transmittal Memorandum identifying the changes will be prepared and forwarded to Executive Staff for review. Executive Staff will discuss the changes at the next executive staff meeting that allows for five working days for review. If Executive Staff concur with the changes, their decision will be formally recorded and a final draft of the policy document will be prepared and forwarded to the Director for signature.

If there is disagreement with the changes, dissenting members shall prepare issue papers. Ten working days (five for writing, five for dissemination and review) shall be allowed for this purpose. At the next Executive Staff meeting thereafter, the issues will be discussed and a final decision reached. That decision will be formally recorded. A final draft of the policy document will then be prepared and forwarded to the Director for his signature.

Option C

If the negotiations between primary user and dissenting commentors fail to produce agreement, a transmittal Memorandum will be prepared and sent to Executive Staff. The memorandum will identify accepted recommendations and the areas of disagreements. The Executive Staff will be given 10 working days to study the issues and will be asked to make a decision at the next staff meeting following that period. If agreement is reached at the Executive Staff meeting, the decision shall be formally recorded and the agreed upon changes will be incorporated into a final draft which shall be forwarded to the Director for his signature.

If agreement cannot be reached at the Executive Staff meeting, dissenting staff members shall prepare issue papers. Ten workdays shall be allowed for the preparation and distribution of issue papers to the Executive Staff members for review. A decision shall be made at the next following staff meeting. The decision shall be formally recorded and reflected in the final draft forwarded to the Director for his signature.

Step 9 – Director's Signature

All final drafts forwarded to the Director for signature shall be under cover of a standard memorandum prepared by the Policy and Plans Division rules and procedures unit. This memorandum will contain the following information:

- 1) A summary of the document content, highlighting the new or changed material.
- 2) The developer of the document.
- 3) The review period dates.
- 4) The issues resolved by the executive staff.
- 5) Attached copies of recordings of decisions made at executive staff meetings.

After the document has been signed by the Director, it will be forwarded to the Clearinghouse for printing and distribution.

I. PCS: Major Policy Documents

Title	Description	Scope	Exemption	Review Process
1. Rules	Statements of Department policy which affect public rights and entitlements, derived from statute, case law, and administrative discretion.	All Rules	None	Executive Staff (for content)
2. Procedures	Statement of how Department employees will proceed to carry out the requirements of rule and statute	All Procedures related to Rule and Statute	None	Executive Staff (for content)
3. Administrative Procedures	Statements of how Department employees will proceed to carry out administrative policies not directly related to rule or statute (i.e., standard operating procedures)	Department-wide or cross-Divisional SOP's	Admin. Procedures (SOP's) affecting one Division only	Executive Staff (for content)
4. Policy Guides	Interim policy statements and interpretations, to be converted to rule or procedures at a future date; can be used for emergency policy changes . Other Units/Divisions, as appropriate, will be involved in the developmental stage.	All Policy Interpretations	None	Legal; Policy and Plans (content and consistency); primary user

II. PCS: Derivative Policy Documents

1. Handbooks	Step-by-step instructions for workers; may include checklists, forms, charts, examples and, at appropriate points, brief extracts of Rules and/or Procedures referenced	Handbooks or reprints directly related to services delivered by DCFS	Technical handbooks not directly related to Department services	Policy and Plans (format and consistency); approved by Director
2. Program Models	Guides for implementation of a program of services; may include "model" organizational structure, job descriptions, goals and objectives, accountability systems, forms and flow charts	Any program of services	Discretionary	Policy and Plans (consistency)

III. PCS: Process Documents

Title	Description	Scope	Exemption	Review Process
1. Policy Transmittals	Numbered cover sheets used to transmit Rules, Procedures, Administrative Procedures, Handbooks and Program Models	All major and derivative PC documents	None	Policy & Plans (PCS maintenance)
2. Policy Transmittal Index	Consecutively numbered, periodical (at least semi-annually) index of all PCS documents in effect, and summary of all changes since last previous index issuance	N/A	N/A	Policy & Plans (PCS maintenance)
3. Transmittal Memoranda	Distinctively colored cover sheets to transmit Rule and Procedure (incl. Administrative Procedures not exempt from PCS) for Executive Staff review and comment, and for sign-off by Director	Rules, Procedures, Administrative Procedures, Policy Guides	N/A	Policy & Plans (PCS maintenance)
4. Policy Guidance Request	Form (or memo) to request policy interpretation or to initiate policy (rule or procedure) revisions, or to develop new policy.	May be initiated by any staff member or Department unit	N/A	None

IV. Official Transmittals, Non-PCS

1. Action Transmittal	Directives from the Director or Executive Staff on non-policy related matters; one time only or short range (expire automatically at end of calendar year); consecutively numbered by Clearinghouse	[See Descriptions]	Use of AT's is discretionary EXCEPT for cross-Divisional directives (Director's signature)	Director's staff if cross-Divisional
2. Information Transmittal	Memoranda, distinctively tilted and formatted but not numbered, by the Clearinghouse, used to convey on-directive, non-policy information to a large number of staff	[See Descriptions]	N/A	None

